

学校编码: 10384

分类号\_\_\_\_\_密级

学号: B200102019

UDC \_

厦门大学

博 士 学 位 论 文

国家制度与地方传统

——明清时期桂西的基层行政制度与社会治理

**National System and Local Tradition**

——**Basic Unit Administration System and Social Governance**

**in Ming and Qing Dynasties of western Guangxi**

李小文

指导教师姓名: 郑振满 教授

专 业 名 称: 中国近现代史

论文提交日期: 2006 年 12 月

论文答辩时间: 2006 年 12 月

学位授予日期: 2006 年 12 月

答辩委员会主席: \_\_\_\_\_

评 阅 人: \_\_\_\_\_

2006 年 12 月

# 博士学位论文

## 国家制度与地方传统

——明清时期桂西的基层行政制度与社会治理

**National System and Local Tradition**

——**Basic Unit Administration System and Social Governance  
in Ming and Qing Dynasties of western Guangxi**

李小文

厦门大学

2006年12月

## 厦门大学学位论文原创性声明

兹呈交的学位论文，是本人在导师指导下独立完成的研究成果。本人在论文写作中参考的其他个人或集体的研究成果，均在文中以明确方式标明。本人依法享有和承担由此论文而产生的权利和责任。

声明人（签名）：

年 月 日

## 厦门大学学位论文著作权使用声明

本人完全了解厦门大学有关保留、使用学位论文的规定。厦门大学有权保留并向国家主管部门或其指定机构送交论文的纸质版和电子版，有权将学位论文用于非赢利目的的少量复制并允许论文进入学校图书馆被查阅，有权将学位论文的内容编入有关数据库进行检索，有权将学位论文的标题和摘要汇编出版。保密的学位论文在解密后适用本规定。

本学位论文属于

1、保密（ ），在          年解密后适用本授权书。

2、不保密（√）

（请在以上相应括号内打“√”）

作者签名：                      日期：      年    月    日

导师签名：                      日期：      年    月    日

## 摘 要

本文通过考察明清时期桂西的基层行政制度与社会治理模式，探讨国家制度“地方化”的历史过程，揭示地方传统与国家制度相结合的内在机制，以期深化对中国传统国家与社会关系的认识。全文共九章，约 21 万字。

关于传统中国“州县以下”的地方治理模式，长期以来形成了“中央集权论”和“地方自治论”两种截然不同的解释模式，笔者认为，如果单纯从抽象的理论出发，不论是强调“集权”，还是强调“自治”，都难以囊括地域社会多样性的国家与社会关系模式。因此，在前人的研究基础上，深入进行区域性的实证研究，具有重要的学术意义。

前人论及中国传统国家与西南边疆地区的关系，大多只关心土司制度问题，认为这是完全不同于内地的行政体制。其实，在土司地区也广泛存在与内地相似的基层行政制度。就桂西而言，从明初开始已陆续推行里甲、保甲、团练、乡约等全国通行的基层行政制度。本文的研究主要集中在以下两个方面：一是国家权力的扩张与渗透过程，即国家制度如何深入到边疆少数民族地区？二是“因俗而治”的问题，即地方传统如何与国家制度相衔接？

在中国历史上，桂西原是一个边陲社会，明清以来经历了从“化外”到“化内”，从封闭到开放的转变过程。明初政府在桂西实行土司制度，保持了当地少数民族原有的村、峒“自治”传统以及“村老”治理模式。与此同时，土司为了加强社会控制能力，也引进了户籍、黄册与里甲制度。土州县的里甲主要行使赋役征派职能，但编户数目偏少，赋税较轻，而兵役负担较重。广西的徭与“徭僮”的界限是以进入里甲系统为标准的，可见里甲还有族群区分的意义。明清时期，桂西土州县的“徭人”村寨，基本上被编入里甲体系，从而被视同“民村”。清中期，作为基层行政组织的里甲体制基本终结，个别地方则一直延续到民国时期。

明中叶前后，大藤峽“徭僮”动乱，迫使王朝实行“以夷制夷”的政策。

桂西“徭兵”利用国家资源，趁机建立了“徭兵”体制及其社会组织——哨，对内加强控制，对外扩张势力。哨是军政合一、兵民合一的社会组织，主要履行征调徭兵义务与社会治安职能。至此，桂西土司地区在传统溪峒、村寨的基础上，出现了两个新的社会组织：一个是里甲，一个是哨。徭兵体制开启了明清地方军事化的先河。至清中前期，地方社会进入“承平时期”，徭兵体制逐渐瓦解。

清初实行改土归流，官族没落，徭兵体制被废除。为了填补社会控制真空，桂西的土州县普遍实施保甲法，建立保甲组织。保甲的行政职能在于维护社会治安，是清代桂西主要的社会控制体系。由于保甲与原有的地方传统相抵触，地方精英大都消极以待，因此，保甲的推行并不顺利，其效果与官府的意图相去甚远，基本上流于形式。清中叶以后保甲与团练、乡约相结合，其社会控制职能被团练取代。

清中叶是桂西地方社会全面转型时期。清初以来政府推行“以汉化夷”，地方文教与科举兴起，在土司地区培植了一批士绅阶层。由于边陲地区内忧外患，在官方的“授权”下，土司地区地方精英奋起举办团练，开展“自救”活动。以举办团练为契机，桂西的士绅阶层悄然崛起，逐渐取得了地方社会的支配权，引起了基层社会权力结构的变迁。晚清至民国时期，桂西团练逐渐与保甲合一，演变成地方行政区划与行政组织。团练在清中后期的发展反映了桂西社会军事化与“士绅化”趋势。除了举办团练以自卫外，在转型时期社会秩序“失范”，为了重建民间社会秩序，本地精英利用乡约来实现“乡治”。桂西乡约具有民间“法律”的性质，是民间社会秩序的规范，可补官制之不足。乡约是清中叶以后桂西地方“自治化”的实态。直到民国时期，乡约仍遍布桂西广大乡村。

明清时期，桂西的宗族组织相当发达。大致说来，桂西宗族的发展经历了两个阶段：一是兴盛于明中叶的官族；二是清中叶官族向“庶族化”转型和民间宗族的兴起。清中叶以前，由于官族与地方政权直接结合，在地方社会中处于“统治”地位。清中叶以后，民间宗族广泛发展，在地方社会治理中发挥了重要的作用，构成地方“自治”体系的一个重要环节。因此，明清桂西的各种

基层行政组织，归根结底均以家族为基础。明清时期桂西宗族的发展与演变过程，其主导的趋势是官族的“庶民化”。宗族与地方权力结构、基层社会治理的关系，反映了明清以来桂西社会变迁的总体趋势。

**关键词：**桂西；行政制度；社会治理

厦门大学博硕士论文摘要库

## Abstract

This paper mainly inspects basic administrative system and social governance model in western Guangxi from the Late imperial, reveals the mechanism that local traditions converge with the national system, for enrich the relationship of state-society. The full text consists nine chapters, about 210,000 words.

It had formed two entirely different models of explanation, "centralized" and the "local self-government" as to local governance of "under the Magistrate", In my view, neither purely from abstract theory, nor both emphasized "centralized" and "autonomy" it is hardly to cover geographical and social diversity of the community-social model. Therefore, it has important academic significance to further empirical study of the cultural history of the regional community based on previous studies.

In the pass, specific to the relationship between the state and the southwest border areas, academics just care about Chieftain Systemt. Refer to the Chieftain system there is a fundamental presumption that it is implement different administrative system from the Mainland. In fact, there have some same administrative system in the grass-roots of Chieftain Region as the mainland. As to the western Guangxi, from Early Ming Dynasty, the primary administrative and social management system of " under the Magistrate " implemented national system such as Lijia, Baojia System, Militia, and the community contracts. This paper focused primarily on two issues: First, how the state power and national system to insert to regional areas; Secondly, in which way that the local traditions link up national system in the "integration" process. These problems are the original studies. Therefore, in this paper, these studies will help to deepen our understanding of the



national system of the late imperial and enrich the recognition of the relationship between state and society.

In our view, western Guangxi is a border community. Because of the border policy changes from Late imperial, the local community has experienced the changing process that from the "thrust" into the "inside" and from a closed to an open. Early Ming Dynasty, government implemented Chieftain System, intended to rule the suburban areas indirectly. On the one hand, Chieftain region maintained the "autonomy" tradition of village, cave and "cun lao" governance system; on the other hand, basic-level Chieftain had been introduced Residence, Yellow Book and Lijia systems. Tax-collection was the Lane A of County Soil' main function which was same as the mainland, but the number of the household of Lijia is on the low small, lighter on tax burdens while heavier on military service. Lijia was also meaningful to distinguish between ethnic groups. Whether nor entering the Lijia system was the standard of the limitation between "Sexual offender" and "Yao zhuang" of Guangxi. In Late imperial, the village of "sexual offender" County Soil in West Guangxi, was basically compiled into Lijia system, which was regarded as a "village people". Lijia is the way that western Guangxi went into the areas of the country. In middle period of the Qing Dynasty, as a basic organization, Lijia system had ended, the individual then has been extended to the Republic.

About mid -Ming, Datengxia "Yao zhuang" turmoil, forcing dynasty practiced the policy "to restrict them". Western Guangxi "Lang soldiers" use national resources to establish "Lang soldiers" system and it's social organization -- "shao", to strengthen internal control, external expansion. "shao" is a social organization with integration military and politics and of master and the soldiers. It mainly fulfills obligations and public order functions. Until then, Lijia and shao as the new social organizations appeared in western Guangxi on the basis of the villages and Chieftain

River Cave .Lang soldiers system become the origin of the militarization of the late imperial. In the primary-mid Qing Dynasty, the local community into the "peacetime", Lang soldiers system gradually disintegrated.

In the early Qing Dynasty, the official national decline, Lang soldiers' institution collapsed. To fill the vacuum of social control, Baojia become a common practice in western Guangxi, its administrative function was to maintain social order, and it was the major social control system. As it conflicts with the original Neighborhood local traditions, local elites tended to be negative; it has no smooth implementation of the Baojia system. Its effect is far from the intention of the government. In the mid Qing dynasty, baojia, Militia combining with community compacts, it's social control function has been replaced by "tuanlian".

Mid -Qing border region, it was faced with domestic trouble and foreign invasion. It was also the overall transformational period of local social in western Guangxi. Under the official "authorization", the elite of Chieftain Areas rose to organize Militia, launch the "self-help" activity, local militarization begun to recover. As an opportunity to organize the resistance, the gentry class in western Guangxi quietly rising, gradually achieved dominance in the local community. From the late Qing Dynasty to the Republic, the Militia of Western Guangxi gradually integrated with Lijia, evolved into a local administrative divisions and administrative organizations. In the middle and later Qing Dynasty, the development of Militia reflected the militarization and the gentry trended in western Guangxi society. Except developing Militia to self-defense, the social had lost its order during the transition period. In order to rebuild civil society, local elites utilized the community compacts to make the "rural governance" come true. The community compacts of Western Guangxi had the quality of civil "law", it was the norm of the order of civil society, could make up for the weaknesses of bureaucracy. "Community compacts

“was the symbol of local “autonomy “.It was not until the Republic, “community compacts "was still existed all over rural western Guangxi.

The development of the entire clan in western Guangxi experienced all the changes in the history of the Late imperial, and its trend of the common people dominants. In the primary-mid Ming Dynasty, Chieftain System gave the local government duties of "authorized" to the "official nation." Combining national and local government officials, local community was controlled. Out late, the government was forced the nation to be further strengthened. Qing Dynasty " Gaituguiliu " was a serious attract to national officials. To be adapted the social transformation the official started the reconstruction and the transition of "common people". Echoing this, people generally rise. Thus, the clan in western Guangxi changed into society. Since mid-Qing, clan was extensive involvement with the local administration of public affairs, and the Militia, "community compacts" and other social organizations, constitute together the transition period of "autonomy" system which reflected the trend of region's social and historical change.

**Keywords:** western Guangxi; Administrative system; Social governance

## 目 录

|                                  |            |
|----------------------------------|------------|
| <b>第一章 导言 .....</b>              | <b>1</b>   |
| 一、问题与思路 .....                    | 1          |
| 二、学术史回顾 .....                    | 3          |
| 三、主要资料与分析框架 .....                | 13         |
| <b>第二章 土司与“村老”自治 .....</b>       | <b>17</b>  |
| 一、桂西的区位特征与族群背景 .....             | 17         |
| 二、明以来国家的治边政策与土司制度的演变 .....       | 20         |
| 三、土司地区的峒村组织与村老治理传统 .....         | 31         |
| <b>第三章 土州县的编户、里甲与赋役征派 .....</b>  | <b>36</b>  |
| 一、明代的编户与徭人身份的改变 .....            | 36         |
| 二、黄册编制与土州县的赋役 .....              | 44         |
| 三、里甲组织与传统村寨 .....                | 61         |
| 四、里甲体制与基层行政的变化 .....             | 71         |
| <b>第四章 徭兵与土司地区的军事化 .....</b>     | <b>88</b>  |
| 一、明中叶的“瑶僮”之乱与徭兵的“以夷制夷” .....     | 88         |
| 二、徭兵军政合一的组织——哨 .....             | 90         |
| 三、明中叶以后的地方军事化 .....              | 99         |
| 四、徭兵东迁及其身份变迁：以一个徭兵家族为例 .....     | 108        |
| <b>第五章 土州县的保甲与社会治安 .....</b>     | <b>114</b> |
| 一、推行保甲制度的官方背景 .....              | 114        |
| 二、清前期土州县编查保甲概况 .....             | 118        |
| 三、保甲组织的社会职能 .....                | 125        |
| 四、清后期保甲组织的弱化与社会控制体制的多元化 .....    | 132        |
| <b>第六章 清中叶以后的团练与地方权力体系 .....</b> | <b>137</b> |

|                                     |            |
|-------------------------------------|------------|
| 一、清中叶边境地区的“匪乱”与团练的兴起 .....          | 137        |
| 二、佶伦土州经营团练的实例 .....                 | 142        |
| 三、清中期士绅的崛起及其对团练的控制 .....            | 151        |
| 四、晚清团练的“行政化”与权势转移 .....             | 159        |
| <b>第七章 清中叶以后的乡约与民间社会秩序的重建 .....</b> | <b>175</b> |
| 一、清中叶桂西乡约兴起的缘由 .....                | 175        |
| 二、桂西各地乡约的形态与区域特征 .....              | 183        |
| 三、地方精英的“化乡”实践：基于龙胜地区乡约的分析 .....     | 190        |
| 四、乡约与社会历史变迁 .....                   | 203        |
| <b>第八章 从宗族发展看地域社会变迁 .....</b>       | <b>209</b> |
| 一、明中期前后官族的兴起 .....                  | 209        |
| 二、土司政权与官族统治 .....                   | 219        |
| 三、清中叶以后官族的转型及其“庶民化” .....           | 226        |
| 四、民间宗族的普及与社区治理 .....                | 240        |
| <b>第九章 结语 .....</b>                 | <b>254</b> |
| 一、基层行政制度和社会治理模式的“多元化” .....         | 254        |
| 二、国家制度实践过程的“地方化” .....              | 257        |
| 三、国家与社会关系的新认识 .....                 | 262        |
| <b>参考文献 .....</b>                   | <b>264</b> |
| <b>后 记 .....</b>                    | <b>271</b> |

## Catalogue

|   |           |
|---|-----------|
| <b>Chapter one: Introduction</b>  | <b>1</b>  |
| 1. The problem and thinking   | 1         |
| 2. The recalling of scholar history   | 3         |
| 3. key data and analytical framework  | 13        |
| <b>Chapter two: Tusi and "cun lao" autonomy</b>   | <b>17</b> |
| 1. The regional characteristics and ethnic background of western Guangxi                              | 17        |
| 2. The evolution of the border policy and Tusi System out of the country since Ming                   | 20        |
| 3. The Dong Village organizations and traditional "cun lao" treatment in Tusi regions                 | 31        |
| <b>Chapter tree: The Bianhu、Lilia and tax-collection and allocation in Tu County</b>                  | <b>36</b> |
| 1. The Bianhu and the identity change of "Lang persons" in Ming                                       | 36        |
| 2. The Compile of Huangce and taxes of Tu County  | 44        |
| 3. The Lilia and traditional village  | 61        |
| 4. The Lilia system and Grassroots administrative changes   | 71        |
| <b>Chapter four: "Lang soldiers" and the militarization of Tusi regions</b>                           | <b>88</b> |
| 1. "Yao zhuang" turmoil and "to restrict them" of "Lang soldiers" in mid-Ming                         | 88        |
| 2. The social organization with integration military of "shao"  | 90        |
| 3. The local militarization after mid-Ming  | 99        |
| 4. The eastward of "Lang soldiers" and its identity change :using a "Lang soldiers" family to explain | 108       |

|   |            |
|---|------------|
| <b>Chapter five: The Baojia and the social order in Tu County .....</b>   | <b>114</b> |
| 1. The official background in implementation of Baojia system .....   | 114        |
| 2. The Cataloging profile of Baojia in Tu County in early Qing .....  | 118        |
| 3. The social functions of Baojia organizations .....   | 125        |
| 4. The weakening of Baojia Organization weakening and the diversity of<br>social control system in late Qing .....      | 132        |
| <b>Chapter six: The “tuanlian” and the local power system since mid<br/>–Qing .....</b>                                 | <b>137</b> |
| 1. The "banditry unrest" and the rise of the “tuanlian” in border areas<br>in mid-Qing .....                            | 137        |
| 2. The example of Ji Lun Tu County’ operating “tuanlian” .....  | 142        |
| 3. The gentry class’ rising and it’s control with “tuanlian” in mid –Qing ..  | 151        |
| 4. The "executive" and the transfer of power of “tuanlian” in late Qing ....  | 159        |
| <b>Chapter seven: The community contracts and the reconstruction of<br/>civil society after mid –Qing .....</b>         | <b>175</b> |
| 1. The causes of the community contracts’ rising in western Guangxi of<br>mid –Qing .....                               | 175        |
| 2. The form and regional characteristics of community contracts in<br>western Guangxi .....                             | 183        |
| 3. The local elites’ practice of community contracts : Based on the<br>analysis of Longsheng’ community contracts ..... | 190        |
| 4. The relationship between community contracts and Social and<br>historical change .....                               | 203        |
| <b>Chapter eight: Inspect geographical social change from the<br/>development of clans .....</b>                        | <b>209</b> |
| 1. The rising of official nation around mid-Ming .....  | 209        |
| 2. Tusi regime and the rule of official nation .....  | 219        |
| 3. The restructuring of official nation and its “go to ordinary” after  |            |

|  |            |
|--|------------|
| mid-Qing .....   | 226        |
| 4. The popularity of clan and civil Community Governance.....                                    | 240        |
| <b>Chapter nine: Conclusion .....</b>  | <b>254</b> |
| 1. The "diversification" of grassroots administrative system and social<br>governance model..... | 254        |
| 2. The localization in the process of national system .....                                      | 257        |
| 3. New understanding about the relationship between the state and<br>society .....               | 262        |
| <b>References .....</b>  | <b>264</b> |
| <b>Postscript.....</b>   | <b>271</b> |



Degree papers are in the "[Xiamen University Electronic Theses and Dissertations Database](#)". Full texts are available in the following ways:

1. If your library is a CALIS member libraries, please log on <http://etd.calis.edu.cn/> and submit requests online, or consult the interlibrary loan department in your library.
2. For users of non-CALIS member libraries, please mail to [etd@xmu.edu.cn](mailto:etd@xmu.edu.cn) for delivery details.

厦门大学博硕士论文摘要库